

07-13-05

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# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Huey Quoc Chan et al.

Confirmation No.: 1275

Serial No.: 10/791,008

Examiner: M. Mendez

Filing Date: March 2, 2004

Group Art Unit: 3763

Docket No.: 1001.1765101

Customer No.: 28075

For: OCCLUSION BALLOON CATHETER WITH EXTERNAL INFLATION LUMEN

## **TRANSMITTAL SHEET**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**CERTIFICATE UNDER 37 C.F.R. 1.10:** The undersigned hereby certified that this paper or papers, as described herein are being deposited in the United States Postal Service, "Express Mail Post Office to Addressee" having an Express Mail mailing label number of: EV 314497169 US, in an envelope addressed to: Mail Stop Amendment Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 12th day of July 2005.

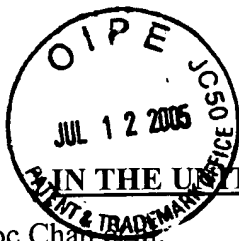
By Kathleen L. Boekley  
Kathleen L. Boekley

We are transmitting herewith the attached:

☐ Amendment  
☐ No additional claim fee required ☐ The claim fee has been calculated as shown:

CLAIMS AS AMENDED							
				SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		X 25 =	\$	X 50 =	\$
INDEPENDENT CLAIMS	-	=		X 100 =	\$	X 200 =	\$
( ) FIRST MULTIPLE DEPENDENT CLAIM				+ 180 =	\$	+ 360 =	\$
TOTAL				\$		\$	

☐ Small entity status of this application under 37 C.F.R. §§ 1.9 and 1.27 has been established.



P A T E N T

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**INFORMATION DISCLOSURE STATEMENT**

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By Kathleen L. Boekley  
Kathleen L. Boekley

Dear Sir:

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. § 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

In accordance with 37 C.F.R. § 1.98(a)(2), a copy of each non-U.S. patent/publication document or other information listed on the enclosed Form PTO-1449 is provided.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

Huey Quoc Chan et al.

By their Attorney,

David M. Crompton, Reg. No. 36,772  
CROMPTON, SEAGER & TUFTE, LLC  
1221 Nicollet Avenue, Suite 800  
Minneapolis, MN 55403-2420  
Telephone: (612) 677-9050

Date: 7/12/05

[ ] A check in the amount of \$\_\_\_\_\_ is enclosed. Itemization:

Fee Code \_\_\_\_\_ \$

Fee Code \_\_\_\_\_ \$

Fee Code \_\_\_\_\_ \$

[XX] Other: INFORMATION DISCLOSURE STATEMENT, CERTIFICATION FOR INFORMATION DISCLOSURE STATEMENT, FORM PTO-1449 AND 1 CITED FOREIGN REFERENCE.

[XX] Return Receipt Postcard (MPEP 503).

[XXXX] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By: \_\_\_\_\_

David M. Crompton, Reg. No. 36,772

David M. Crompton  
CROMPTON, SEAGER & TUFTE, LLC  
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Minneapolis, MN 55403-2420  
Telephone: (612) 677-9050  
Facsimile: (612) 359-9349



P A T E N T

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**CERTIFICATION FOR INFORMATION DISCLOSURE STATEMENT  
(37 C.F.R. § 1.97(e)(1))**

**CERTIFICATE UNDER 37 C.F.R. 1.10:** The undersigned hereby certified that this paper or papers, as described herein are being deposited in the United States Postal Service, "Express Mail Post Office to Addressee" having an Express Mail mailing label number of: EV 314497169 US, in an envelope addressed to: Mail Stop Amendment Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 12th day of July 2005.

By Kathleen L. Boekley  
Kathleen L. Boekley

Dear Sir:

This certification is being made for the Information Disclosure Statement accompanying this certification.

**CERTIFICATION**

I, the person signing below, certify that each item of the information contained in the Information Disclosure Statement submitted herewith was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement (37 C.F.R. § 1.97(e)(1)).

Further, I state that the aforementioned foreign communication was not received by any individual designated in § 1.56(c) more than thirty (30) days prior to the filing of the Information Disclosure Statement.

The person making this certification is a person who is the attorney who signs below on the basis of the information in the attorney's file.

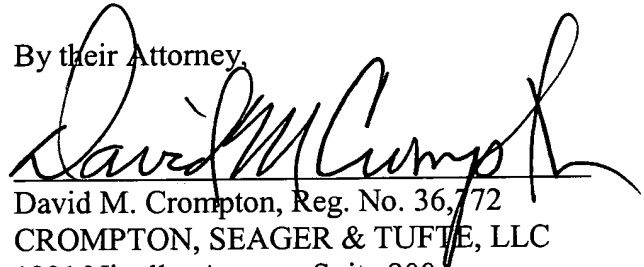
Respectfully submitted,

Huey Quoc Chan et al.

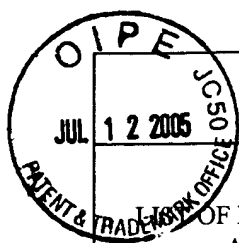
By their Attorney,

Date: \_\_\_\_\_

7/12/05



David M. Crompton, Reg. No. 36,772  
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<b>FORM PTO-1449</b>		Atty. Docket No.: 1001.1765101	Serial No.: 10/791,008
U.S. DEPARTMENT OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		Applicant: Huey Quoc Chan et al.	
		Confirmation No.: 1275	
		Filing Date: March 2, 2004	Group Art: 3763

### U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
AA	4,775,371	10/04/1988	Mueller, Jr.	
AB	5,195,971	03/23/1993	Sirhan	
AC	5,421,826	06/06/1995	Crocker et al.	
AD	5,496,275	03/05/1996	Sirhan et al.	
AE	6,315,757	11/13/2001	Chee et al.	

### FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Translation Yes No
AF	EP 1 234 594 A2	08/28/2002	Europe	

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.